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PTO/SB/96 (08-03)

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### STATEMENT UNDER 37 CFR 3.73(b)

Bloomberg, LP  
Applicant/Patent Owner: \_\_\_\_\_  
Application No./Patent No.: 09/584,045 Filed/Issue Date: 30 May 2000  
Entitled: Electronic Trading System for Electricity Forwards  
Bloomberg, LP, a Delaware corporation  
(Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

- the assignee of the entire right, title, and interest; or
- an assignee of less than the entire right, title and interest.  
The extent (by, percentage) of its ownership interest is \_\_\_\_\_ %

in the patent application/patent identified above by virtue of either:

A.  An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel 011267, Frame 0646, or for which a copy thereof is attached.

OR

B.  A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

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Additional documents in the chain of title are listed on a supplemental sheet.

Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

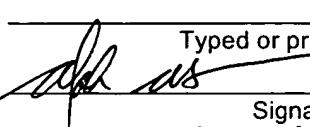
The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

1 May 2002

Matthew J. Marquardt, Esq., Reg. No. 40,997

Date

Typed or printed name

  
Signature  
Attorney for Applicant

Title

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



PATENT  
Application of HAUSMAN  
Serial No. 09/584,045  
Atty Docket No. 3524/14  
Express Mail Label No. EL 920 797 053 US

**IN THE UNITED STATES PATENT & TRADEMARK OFFICE**

In re Application of: HAUSMAN, Andrew

Serial No.: 09/584,045

Filed: 30 May 2000

Title: ELECTRONIC TRADING SYSTEM FOR ELECTRICITY FORWARDS

Commissioner for Patents  
Washington, D.C. 20231

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**GROUP 3600**

**DECLARATION OF JESSICA LEERENTVELD  
IN SUPPORT OF PETITION TO MAKE SPECIAL**

Jessica Leerentveld, being duly warned that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application or any patent resulting therefrom, declares that:

1. I am an employee of Bloomberg, LP, which is owner by assignment of the application herein.
2. I am authorized to make this statement on behalf of assignee Bloomberg, LP.
3. As part of my duties as an employee of Bloomberg, LP, I support and am familiar with the BLOOMBERG POWERMATCH® electronic trading system. I am familiar with the disclosure of the above-identified patent application, which describes among other things aspects of the BLOOMBERG POWERMATCH® electronic trading system.

PATENT  
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4. In the course of my employment I have become familiar with a number of trading systems which compete with the BLOOMBERG POWERMATCH® trading system. One such system is the Intercontinental Exchange trading system, which is described in general terms at [www.intcx.com](http://www.intcx.com). A copy of information found on the Internet at that URL is attached hereto as Exhibit A. In the course of my employment I also speak regularly with a number of traders and others familiar with electronic trading, both within Bloomberg, LP, and outside. I frequently discuss with these persons various trading systems which compete with the BLOOMBERG POWERMATCH® trading system, including the Intercontinental Exchange trading system. The Intercontinental Exchange trading system is a private system accessible only to authorized persons, generally subscribers. Several of the persons with whom I have discussed the Intercontinental Exchange trading system have authorized access to the system, and are familiar with its workings.

5. Based on knowledge I have gained from my conversations with traders who use the Intercontinental Exchange trading system and a review of the Intercontinental Exchange website, I have made a rigid comparison of the Intercontinental Exchange system with the claims of the application herein.

6. In my opinion based on that rigid comparison, at least claims 13 – 15, 19 – 23, 33 – 35, and 38 - 50 of the application herein are unquestionably infringed.

7. The Intercontinental Exchange trading system was introduced to the trading public well after introduction of the BLOOMBERG POWERMATCH® trading system. It is commonly believed, among those familiar with trading systems which compete with the

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BLOOMBERG POWERMATCH® trading system, that the Intercontinental Exchange trading system was intended as a close imitation of the BLOOMBERG POWERMATCH® trading system.

8. The facts set forth in this Declaration are true, and all statements made of my own knowledge are true, and all statements made on information and belief are believed to be true.

Date: 4-30-02

Jessica Leerenveld  
Jessica Leerenveld

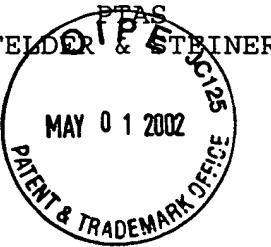


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3504-14

JANUARY 26, 2001

BROWN RAYSMAN MILLSTEIN FELDER & STEINER  
FRANK J. DEROSA  
120 WEST 45TH STREET  
NEW YORK, NEW YORK 10036



\*101528025A\*

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RECORDATION DATE: 11/07/2000

REEL/FRAME: 011262/0646  
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:  
HAUSMAN, ANDREW

DOC DATE: 10/05/2000

ASSIGNEE:  
BLOOMBERG LP  
499 PARK AVENUE  
NEW YORK, NEW YORK 10022

SERIAL NUMBER: 60152017  
PATENT NUMBER:

FILING DATE: 09/01/1999  
ISSUE DATE:

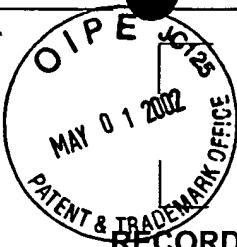
SERIAL NUMBER: 09584045  
PATENT NUMBER:

FILING DATE: 05/30/2000  
ISSUE DATE:

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SHARON LATIMER, EXAMINER  
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Mark if additional names of conveying parties attached Execution Date  
Month Day Year

Name (line 1)  Andrew Hausman 10/05/2000

Name (line 2)

Second Party

Name (line 1)

Name (line 2)

Execution Date  
Month Day Year

09584045

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Name (line 1)  Bloomberg LP

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Correspondent Name and Address

Area Code and Telephone Number (212) 944-1515

Name Frank J. DeRosa

Address (line 1) Brown Raysman Millstein Felder & Steiner LLP

Address (line 2) 120 West 45th Street

Address (line 3) New York, New York 10036

Address (line 4)

Pages

Enter the total number of pages of the attached conveyance document including any attachments.

# 2

Application Number(s) or Patent Number(s)

Mark if additional numbers attached

Enter either the Patent Application Number or the Patent Number (DO NOT ENTER BOTH numbers for the same property).

Patent Application Number(s)

60/152,017

09/584,045

Patent Number(s)

If this document is being filed together with a new Patent Application, enter the date the patent application was signed by the first named executing inventor.

Month Day Year

Patent Cooperation Treaty (PCT)

PCT  PCT  PCT

Enter PCT application number

only if a U.S. Application Number  
has not been assigned.

PCT

PCT

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Number of Properties

Enter the total number of properties involved. # 2

Fee Amount

Fee Amount for Properties Listed (37 CFR 3.41): \$ 80

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# 02-4270

Authorization to charge additional fees:

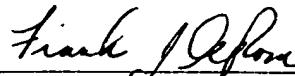
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No

Statement and Signature

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document. Charges to deposit account are authorized, as indicated herein.

Frank J. DeRosa



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Name of Person Signing

Signature

Date

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Atty. Docket: 3524/14

**ASSIGNMENT**

WHEREAS, I, Andrew Hausman, residing at Summit, New Jersey, a citizen of the United States of America, hereinafter together with my heirs, executors, administrators and legal representatives referred to herein as "Assignor", have invented one or more inventions (hereinafter referred to as "said invention(s)") disclosed in the following applications for patent of the United States; Serial No.: 60/152,017 filed September 1, 1999 and 09/584,045, filed May 20, 2000 both titled ELECTRONIC TRADING SYSTEM FOR ELECTRICITY FORWARDS (hereinafter referred to as "said applications").

WHEREAS, Bloomberg LP (hereinafter together with its successors and assigns referred to as "Assignee"), a limited partnership organized and existing under the laws of Delaware, having a place of business at 499 Park Avenue, New York, NY 10022, is desirous of obtaining all right, title and interest in, to and under said invention(s) and said applications.

NOW, THEREFORE, for good and valuable consideration, the receipt and sufficiency of which Assignor hereby acknowledges, Assignor has sold, assigned, transferred and set over, and by these presents hereby sells, assigns, transfers and sets over to Assignee all right, title and interest in, to and under said invention(s) and said applications, including (a) the right to apply for patents in the United States of America and in all foreign countries for said invention(s), (b) all applications for patents for said invention(s) or based on said applications in all countries, now filed or to be filed, including all divisional, renewal, substitute, continuation, continuation-in-part and convention applications based in whole or in part upon said invention(s) or upon said applications, (c) all patents which may issue on said invention(s) and on any applications transferred by this Assignment in the United States and foreign countries, and any and all reissues, extensions, renewals, divisions, continuations or continuations-in-part of patents granted for said invention(s) or upon such applications, to the full term or terms for which the patents may be issued, and (d) every priority right that is or may be predicated upon or arise from said invention(s), said applications and such patents. Assignor hereby authorizes Assignee to file patent applications in all countries for any or all of said invention(s) in Assignor's name, or in Assignee's name, or otherwise as Assignee may deem advisable, under any international or bilateral treaty or convention, or otherwise.

Assignor hereby covenant and agrees that Assignor will, upon request of Assignee, and without further consideration but at the expense of the Assignee, communicate any facts known to Assignor relating to said invention(s) and the history thereof, testify in any legal proceeding, execute all lawful papers required to effect the foregoing, and generally do all further acts which may be deemed necessary by Assignee to obtain and enforce proper patent protection for said invention(s) in all countries.

If any part of this Assignment and Agreement shall be held by a court of competent jurisdiction to be void, invalid or inoperative, the remaining provisions of this Assignment and Agreement shall not be affected and shall continue in effect, and the invalid provision shall be deemed modified to the least degree necessary to remedy such invalidity.

Atty. Docket: 3524/14

IN TESTIMONY WHEREOF, Assignor has executed this document on the date indicated below.

Date: OCTOBER 5, 2000

  
(Signature) Andrew Hausman

STATE OF New York )  
COUNTY OF New York )

On the 5 day of OCTOBER in the year 2000 before me, the undersigned, personally appeared Andrew Hausman, personally known to me or proved to me on the basis of satisfactory evidence to be the individual whose name is subscribed to the within instrument and acknowledged to me that he executed the same in his capacity, and that by his signature on the instrument, the individual, or the person upon behalf of which the individual acted, executed the instrument.

Signature and Office of individual taking acknowledgment

JAMES C. COSTELLO  
Notary Public, State of New York  
Registration No. 02COG023542  
Qualified in New York County  
Commission Expires 4/26/2001